# *Investigative Report:*

Hiring and Payment of 2017-2018 Mayoral Transition Team

## *Why We Did This Investigation*

On March 18, 2019, the City Council passed Resolution 19-R-3366 requesting that the City Auditor and Ethics Officer conduct an independent review of personnel transactions that authorized the hiring and payment of campaign staff during the 2017-2018 mayoral transition. The purpose of this report is to describe the results of the investigation conducted by the City Auditor's Office and the City Ethics Office.

## *Objectives*

Our objectives were to:

- Identify how the personnel transactions were processed;
- Determine whether airport revenue was diverted and who authorized the use of airport revenue funds;
- Identify what if any controls failed; and
- Determine whether any other ethical concerns should be raised.

## *Summary*

We found evidence indicating the following:

- The hiring process for the transition team was inconsistent with the city's established procedures and practices for hiring staff;
- Transition team employees' human resources files were incomplete; some pre-employment steps do not appear to have been completed;
- Eight transition team employees were paid prior to city employment;
- The city attempted to issue "sign on bonus" checks to the transition

Keisha Lance Bottoms was elected as Atlanta's 60th Mayor and took the oath of office January 2, 2018. In March 2019, the media reported that on December 27, 2017, former Mayor Kasim Reed provided the former human resources commissioner with a hand-written list of six campaign workers, including their desired salaries, written on then-Councilmember Bottoms' City Council letterhead. In addition to the six employees who were the subject of the media report, we identified two additional employees who were being hired as executive staff and included those additional staff in our analyses.

We found that the eight employees were hired without undergoing all the city's pre-employment screening procedures; personnel files lacked key documents, including employee applications and evidence that background checks were completed for all staff. Files for all eight employees included employee ethics pledges, signed statements explaining that the jobs were not covered by social security, and signed acceptances of unclassified positions. Although personnel files also included new hire turnaround documents, the forms were not signed by the department head where the employees were shown as placed, or by the human resources commissioner. Seven of the eight files lacked key required documents such as written authorizations to fill the positions, employee applications, authorizations to complete a background check, and employment eligibility verification forms. Files for only three of the employees contained signed offer letters. We were able to confirm that background checks had been completed for the employees.

Pre-employment processes help to ensure that employees are qualified. The files contained no documentation to indicate that candidates were aligned to position requirements—they appear to have been placed in positions primarily to meet their desired salaries, which was confirmed through our interviews with human resources staff. Four of the six

team employees, without tax or other deductions;

- The employees appeared to be put in placeholder positions to meet salary demands;

- Airport funds were used to pay one employee, and were paid back by the general fund;

- An additional employee was paid from funds from departments in which he was not assigned to work, including from the city's solid waste fund; and

- The city has no formal policies or procedures for onboarding transition team staff.

## Next Steps

The City Council should consider working with the Department of Human Resources and the Department of Law to ensure that hiring of staff for future mayoral transitions complies with the city's procedures. Consideration should be given to:

- Developing specific policies and procedures for hiring mayoral transition staff that are consistent with current procedures for hiring all other employees;

- Requiring the repayment of solid waste funds that were paid to an employee who did not work in the Department of Public Works; and

- Deliberating Ordinance No. 19-O-1190 to determine whether funds should be allocated specifically for hiring transition team employees.

For more information regarding this report, please use the "contact" link on our website at www.atlaudit.org

candidates were placed in positions receiving the exact salary noted on the handwritten list. The intended chief of staff was placed in an airport position and paid $22,638.87 in salary from airport funds. The funds were subsequently repaid to the aviation fund from the city's general fund. We were unable to confirm who authorized the airport placement, but interviews with human resources staff indicate that the actions were directed by the former human resources commissioner. Another employee was paid from the funds of two departments in which he never worked; one of those positions was paid from the city's solid waste fund.

We identified six employees who were paid salaries prior to the Mayor taking office and prior to city employment. The city at first attempted to provide six staff with "sign on bonus" checks without tax or other deductions—those checks were subsequently voided. As noted in our August 2018 joint investigation, *Review of City Bonuses and Contest Winnings*, the City Code does not authorize human resources to give bonuses that are not specifically permitted by the code.

The city has no procedures or guidelines for onboarding employees during a mayoral transition. In part because former mayoral appointees still occupied some of the positions after inauguration, human resources appeared to place new employees in other available positions. The Mayor introduced Ordinance No. 19-O-1190 in March 2019, which would allow adequate resources for a "smooth and efficient transition of administrations." The legislation would allow the city to fund up to $100,000 for transition and inauguration services. As of September 25, 2019, the legislation is being held by City Council's Finance Executive Committee at the request of the Mayor's Office.

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## List of Exhibits

## I. Introduction

On March 18, 2019, the City Council passed Resolution 19-R-3366 requesting that the City Auditor and Ethics Officer conduct an independent review of personnel transactions which authorized the hiring and payment of campaign staff during the 2017-2018 mayoral transition to determine if any portion of the city's Code of Ordinances, state law, the state constitution, or Federal Aviation Administration regulations have been violated. The resolution requested that the city auditor and/or ethics officer seek outside counsel to assist with the review.
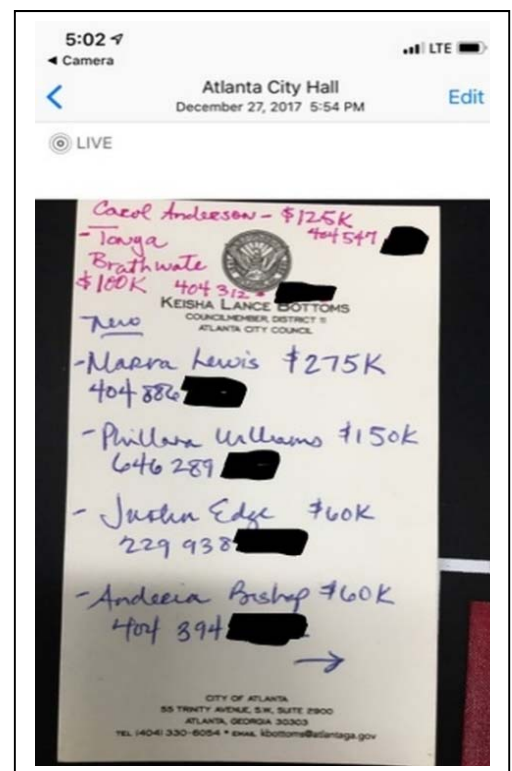
The Mayor vetoed the legislation, writing that the resolution's authorization of the city auditor and/or ethics officer to hire independent counsel constituted a violation of the City Charter. Due to the Mayor's concern, the ethics officer and city auditor agreed to conduct the investigation without seeking outside legal advice or drawing conclusions regarding the legality of the personnel transactions.

## II. Hiring Process for Transition Team Staff Was Inconsistent with the City's Established Procedures and Practices.

Keisha Lance Bottoms was elected as Atlanta's 60th Mayor and took the oath of office on January 2, 2018. In March 2019, the media reported that on December 27, 2017, former Mayor Kasim Reed provided the former human resources commissioner with a hand-written list of six campaign workers, including their desired salaries, written on then-Councilmember Bottoms' City Council letterhead (see Exhibit 1). In addition to the six employees who were the subject of the media report, we identified two additional employees who were being hired as executive staff. We included those additional staff in our analyses.

**Exhibit 1: Mayor's Transition Staff**



**Source:** Atlanta Journal Constitution

We found that the process for hiring the transition team staff was inconsistent with the Department of Human Resources' typical hiring procedures. All eight employees were hired without undergoing all the city's pre-employment screening procedures; personnel files lacked key documents, including employee applications and evidence that background checks were completed for all staff. There is no documentation in the files to indicate that candidates were aligned to position requirements—they appear to have been placed in positions primarily to meet their desired salaries. As a result, the intended chief of staff was placed in an airport position and initially paid with airport funds that

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were subsequently repaid from the city's general fund.  Another employee was also paid from the funds of departments in which he never worked, including the solid waste fund.

We identified eight employees who were paid salaries prior to the inauguration date; the city at first attempted to provide them with "sign on bonus" checks without tax or other deductions—those checks were subsequently voided.  The employees were then paid with off-cycle checks for an entire pay period commencing prior to their city employment and included holiday pay.

The city has no procedures or guidelines for onboarding employees during a mayoral transition.  Because former mayoral appointees still occupied the positions after inauguration, human resources appeared to place new employees in other available positions.  The Mayor introduced Ordinance No. 19-O-1190 in March 2019, which would allow adequate resources for a "smooth and efficient transition of administrations".  The legislation would allow the city to fund up to $100,000 for transition services—$75,000 for transition support and $25,000 for the inaugural swearing-in ceremony.  As of September 25, 2019, the legislation is being held by City Council's Finance Executive Committee at the request of the Mayor's Office.


### A.  Transition team employees' human resources files were incomplete; some pre-employment steps do not appear to have been completed.

Human resources files for eight transition team employees were incomplete; only one employee's file contained most of the required support to confirm that the application and screening processes were carried out.  Files for all eight employees included employee ethics pledges, signed statements explaining that the jobs were not covered by social security, and signed acceptances of unclassified positions.  Seven of the eight files lacked key required documents such as written authorizations to fill the positions, employee applications, authorizations to complete a background check, and employment eligibility verification forms.  The authorizations to fill document is signed by the commissioner of the hiring department and identifies the job title, salary, fund and account from which the salary will be paid, and justification for the hire request.  It also identifies whether the position will be paid from general funds, enterprise funds, grants, or internal service funds.  Although the files also included new hire turnaround documents, the forms were not signed by the department head where the employees were shown as placed, or by the human resources commissioner.   Files for only three of the employees contained signed offer letters.  Appendix A provides a list of the city's new employee package checklist.  Appendix B shows the results of our comparison of the city's hiring checklist to employee files.

Files for all eight employees lacked documents showing that background checks and pre-employment physicals were conducted.  Human resources staff was able to provide evidence to confirm that background checks were completed for all eight employees in January 2018.  The specific elements of the checks varied slightly by person, but at a

minimum, each person had a criminal background check, education verification, and employment verification.  The Mayor's Office was billed for background checks for all employees except one—in this instance the Solicitor's Office was billed, although this employee never worked for the office.  An employee from the Solicitor's Office noted on the invoice that this person was not one of their employees.

We were able to confirm with the city's medical provider that physicals were completed for all eight employees in January and February 2018; this information was validated by the provider.  We neither requested nor received any medical information.

Pre-employment processes help to ensure that employees are qualified.  All eight employees under review, and typically all employees within the mayor's executive offices are unclassified employees, according to City Code Section 114-84(b)(7).  Unclassified employees are positions at grade 19 and above.  According to human resources procedures, unclassified positions may be filled without a written announcement of the job opening; however, the procedures state that the "DHR (Department of Human Resources) must review the qualifications of prospective appointees to an unclassified position to ensure the candidates are qualified for the position."  The procedures also require that although some positions are advertised to allow receipt of a resume, a complete, signed, and dated employment application must be submitted prior to beginning work.  All city employees are also required to take and pass a physical examination as a condition of employment.  This requirement is also stated on the employment application, which states that the physical includes a test for illegal drugs.  City Code Section 114-184(d) provides that criminal background checks and credit history may be required for employees in positions of trust.  The city's employment application states that education, credentials, and employment history will be verified prior to appointment, and additional areas of verification are required for certain positions.

Generally, the hiring process for unclassified employees is as follows:
- the hiring department identifies a position vacancy and creates a personnel requisition for approval
- human resources reviews and approves the job requisition, and creates an authorization to fill the position
- the position may be posted to the city's career website and external job boards
- candidates respond to the posting by completing and uploading a resume and city application
- human resources compiles a list of eligible candidates and sends the list to the hiring department
- the hiring department reviews eligible candidate resumes and applications and selects candidates for interview
- once the hiring department interviews candidates and selects a candidate, the department completes an offer request form and sends it to the human resources recruiting coordinator
- the human resources recruiter communicates the offer to the candidate both verbally and via email

- the candidate verbally accepts the offer
- the recruiting coordinator begins the background screening, schedules the candidate's physical, creates the offer packet for signature, and sends the candidate a written offer letter and new hire paperwork
- the candidate signs the offer letter and completes and returns the new hire paperwork and submits it to the recruiting coordinator
- the recruiting coordinator reviews and approves the new hire paperwork, and communicates the employee's start date to the hiring department

Once an employee is selected, the Department of Human Resources processes the personnel transaction using either a form called the HR New Hire Turn Around Document for new hires (see Appendix C), or an HR Employee Maintenance Turn Around Document for promotions and transfers (see Appendix D). The turnaround document contains the employee's job title and position, grade, salary, funding source, and signature lines for the employee, immediate supervisor, department head, and the persons who complete and certify the form. A human resources official told us that at a minimum, the turnaround document should contain the signature of the department head in which an employee is being placed, and the human resources commissioner. We noted that turnaround documents for all eight transition employees were included in the human resource files, as shown in Appendix B; however, they were not signed by a department head or human resources commissioner.


## B. Six transition team employees were paid prior to city employment.

The city processed off-cycle checks to pay six transition team employees to retroactively cover the period from December 14, 2017, through December 27, 2017, for the January 10, 2018, pay date. The checks included 64 regular hours and 16 hours of holiday pay for each employee. Personnel transactions for four of these employees were not processed until January 2018. The employees appeared to have had their start dates in Oracle back-dated to December. The employees were paid for a full pay period occurring prior to the Mayor taking office and prior to city employment.

According to the city records, the then interim human resources commissioner made the off-cycle check requests on January 9, 2018, and included no specific justification for the requests. Another human resources employee emailed the requests to payroll for processing and stated in the email that it was an "urgent request." The requests had only the signature of the interim commissioner making the request (see Appendix F). Off-cycle checks are pay checks outside of the normal payroll cycle. Departments request off-cycle checks or submit change sheets when an employee's hours were not reported accurately and/or timely, but management override of controls in the process carries inherent risk. It is likely that off-cycle checks were requested for the transition staff rather than paying them through regular payroll because they had not yet been processed as employees and entered into Oracle or Kronos. Hours must be loaded into Kronos, the city's timekeeping

system and electronically transferred to Oracle, the city's financial system, for an employee to receive a paycheck in the normal payroll cycle.

Off-cycle requests are inherently riskier than regular payroll checks because they do not follow the regular payroll process and bypass many of the controls to process a check within hours instead of weeks. Off-cycle checks are processed on pay day (Friday) and the Tuesday following the regular pay day. We noted in our June 2018 audit, *Payroll Processing*, that unsupported off-cycle check requests could indicate error or impropriety and recommended that the Department of Finance discontinue issuing off-cycle checks to employees without required documentation. According to payroll, to receive an off-cycle check an employee must have received less than 75% of their bi-weekly pay and the requesting department must document the employee's name, reason for the off-cycle check, and include the department head or designee's approval for processing. Failure to enforce these requirements reduces payroll's ability to hold requestors accountable.

### C. City attempted to issue bonus checks to the employees, without tax or other deductions.

Prior to issuing off-cycle pay checks for the employees, the interim human resources commissioner requested via email that the Department of Finance issue "sign on bonus" checks to six employees. The email was sent on January 4, 2018, to the then chief financial officer, specifically requesting that each employee receive a "lump sum full check amount" with no taxes or deductions and requested that the bonus checks be paid the following day. The email contained an attached spreadsheet with a list of six names, positions, and sign on bonus payout amounts. The checks totaled $25,534, $10,534 of which was to be paid to the chief of staff. The checks were processed through the accounts payable system rather than through payroll, with no other supporting documentation. The physical checks were cut on January 5, 2018, and subsequently voided on January 22, 2018.

As noted in our August 2018 joint investigation, *Review of City Bonuses and Contest Winnings*, the City Code does not authorize human resources to give bonuses that are not specifically permitted by the code. Payments of this type do not represent legitimate salary or compensation under the code.

### D. Employees appeared to be put in placeholder positions to meet salary demands.

Six of the employees were initially recorded on a handwritten note written to the former human resources commissioner, as noted in Exhibit 1. Personnel files contained no employment applications for any of the eight transition employees. There is no documentation in the files to indicate that the Department of Human Resources reviewed the qualifications of the candidates to ensure they were qualified for the positions in which they were placed. Statements from human resources staff involved in processing the personnel transactions indicate that the positions were based on the desired

compensation amounts, not actual duties, and they were expected to find vacant positions to place the employees to meet the salary amounts. It appears that the transition employees were placed in positions primarily to meet their desired salaries, as noted on the handwritten list provided to the former human resources commissioner by former Mayor Reed. The personnel transactions were not signed except by the person who processed the paperwork, but they appeared to be initiated by the former human resources commissioner using a spreadsheet with the names and pay amounts. The commissioner resigned effective January 2, 2018; she declined our request to be interviewed through a statement from her attorney.

Turnaround documents for the transition employees indicate their positions and salaries; however, supporting documents consist only of spreadsheets emailed between human resources employees; we were unable to identify documents in personnel files or other correspondence demonstrating that candidates were aligned to job requirements. Four of the six candidates were placed in positions receiving the exact salary noted on the handwritten list.

### E. Airport funds were used to pay one employee; the position was later amended to more closely match the desired salary amount.

One of the executive employees was initially hired as the aviation general manager in the Department of Aviation with a start date of December 14, 2017, and a starting salary of $273,873. The employee never worked at the airport, and the turnaround document only contained a signature of the human resources staff person who processed the document. Neither the airport general manager nor the human resources commissioner signed off on the transaction. Also, the employee's offer letter, dated January 2, 2018, and signed January 3, 2018, listed the position offered as chief of staff with a starting salary of $239,657. We were unable to confirm who authorized the airport placement, but interviews with human resources staff indicate that the actions were directed by the former human resources commissioner.

Because the employee had been paid $22,638.87 in salary from airport funds between December 14, 2017, and January 10, 2018, those funds were reimbursed back to the aviation fund from the city's general fund in February 2019 via journal entry.

The employee was then transferred to the chief of staff position, effective 12/28/2017 at the $273,873 salary; however, at the time the transfer was processed, the pay range for the chief of staff position ranged from a minimum of $153,386 to a maximum salary range of $239,666. The Department of Human Resources submitted a grade amendment for City Council approval to increase the pay range for the position to a minimum of $175,284 and a maximum of $273,881. City Council approved the position change on August 29, 2018, in Ordinance No. 18-O-1471, retroactively effective to December 14, 2017. This employee's desired salary on the initial handwritten note was $275,000. The employee resigned from the chief of staff position effective March 30, 2019.

**F. A second employee was paid from funds from two departments in which he was not assigned to work.**

One employee was initially hired as a community affairs coordinator in the Department of Public Works with a start date of December 14, 2017, and a starting salary of $60,000, paid through the city's solid waste fund. The salary was the exact amount listed on the initial handwritten note that former Mayor Reed provided to the former human resources commissioner (see Exhibit 1). According to staff within public works, the employee never worked in that department. According to Sec. 130-77 of the city code, solid waste collection and disposal service fees, is to be used for related expenses. The employee was paid approximately $2,300 from the solid waste fund. Because the employee never worked in public works, his salary should be repaid to the solid waste fund.

This employee was then transferred to the Solicitor's Office on January 17, 2018, as a compliance analyst at the same salary. The employee resigned from the compliance analyst position, effective July 12, 2018. When this employee's background check was completed in January 2018 and the charge invoiced to the Solicitor's Office, staff from the office noted on the invoice that this person was not one of their employees.

## III. The City Has No Formal Policies or Procedures for Onboarding Transition Team Staff.

The city has no procedures or guidelines for onboarding employees during a mayoral transition. After inauguration, employees are hired on with the city and onboarded into their permanent positions. During Mayor Bottoms' transition, some former mayoral appointees still occupied the positions in which the transition staff were to be placed. This appeared to in part, drive human resources' attempts to place employees in other available positions. We were told by a former human resource official that the appropriate course of action would have been to create extra help positions in which to place the "hold overs," allowing incoming staff to be placed into their respective positions. This would provide greater transparency during the onboarding process and fewer opportunities to override controls. When the chief of staff resigned in March 2019, she was placed in an extra help position, which allowed the administration to hire another employee into that position.

### A. Legislation to fund transition is currently held in City Council Committee

The Mayor introduced Ordinance No. 19-O-1190 in March 2019, which would allow adequate resources for a "smooth and efficient transition of administrations". The legislation would allow the city to fund up to $100,000 for transition and inauguration services—$75,000 for transition support and $25,000 for the inaugural swearing-in ceremony. Transition services would include office space in a city-owned facility, as well

as furniture and equipment.  The ordinance also states that the chief financial officer would ensure that funds are available, and the human resources commissioner would ensure compliance with all applicable personnel policies and procedures when hiring transition team staff.  The ordinance also provides that the chief procurement officer would ensure that all procurement laws are followed. As of September 25, 2019, the legislation is being held by City Council's Finance Executive Committee at the request of the Mayor's Office.

**Appendix A:  New Hire Employment Package Checklist**

| **CITY OF ATLANTA** |||
|---|---|---|
| **NEW HIRE EMPLOYMENT PACKAGE CHECKLIST** |||
| **Department:** | **Bureau:** | **Effective Date:** |
| **First Name:** | **Middle Name:** | **Last Name:** |
| **Email Address:** | | **Kronos Bar Code:** |
| **Approver ID#:**   **Timekeeper ID#:** | | **Work Hours:** |
| **Supervisor ID#:**   **Sign-On Method:** | | **Lunch:** |
| **Title:** | **Grade:** | **Position Number:** |

**HR Forms Provided by Department**
- New Hire TAD or Manager Self Service Printout
- Approved Authorization to Fill Form (ATF)

**HR Forms Provided by Talent Acquisition Team**
- Application
- Authorization for Background Check
- Background Check / Verification (Criminal, Education and Prior Employment)
- Pre-Employment Physical Pass Letter
- Signed Appointment / Offer Letter
- I-9 Employment Eligibility Verification Form
  - Copies of Acceptable Documentation (Driver's License, Passport, SS card, etc.)
  - E-Verify
- SAVE Affidavit
- Employee Ethics Pledge
- *Acceptance of Unclassified Position Form (if applicable)*
- *Temporary Employment Acknowledgement Form (if applicable)*
- Confidentiality Agreement Form
- Request Permission to Perform Outside Employment
- Statement Concerning Employment in a Job Not Covered by Social Security (SSA-1945)
- W-4 Federal Withholding Allowance
- G-4 State of Georgia Withholding Allowance
- COA Employee Information Sheet

Benefits *(If Applicable)*
- Insurance Coverage Form
- Health Insurance Enrollment Form
  - Copies of Documentation (i.e. Marriage License, Birth Certificates, SS Cards)
- ACA Enrollment Form *(Temporary Employees Only)*
- Life Insurance Enrollment Form *(Employee must list at least ONE beneficiary)*
  - Copies of Documentation (i.e. Marriage License, Birth Certificates)
- Tobacco Use Attestation Form

Pension/Retirement Firms *(Employees must be enrolled in one of the plans below)*
- Defined Contribution Pension Plan Participation Form – VOYA (Pay Grades 19 & Above)
- General Employees HYBRID Pension Plan (Pay Grades 18 & Below)
- Bencor FICA Alternative Plan Enrollment form (Temporary – Non-Benefit Earning)
- FICA Alternative Distribution Request Form (For Temporary to Permanent Only)

Miscellaneous Forms
- Direct Deposit Authorization (Must attach a voided check) - *Optional*
- Payroll Deduction for Monthly Transit Card – *Optional*

**Source:**  City of Atlanta Department of Human Resources

**Appendix B:  Comparison of Transition Employee Files to New Hire Employment Package Checklist**

| | Ralph Jones | Malik Brown | Justin Edge | Carol Anderson | Marva Lewis | LaTonya Brathwaite | Anderia Bishop | Phillana Williams |
|---|---|---|---|---|---|---|---|---|
| **HR Forms Provided by Department** | | | | | | | | |
| • New Hire TAD or Manager Self Service Printout | X | X | X | X | X | X | X | X |
| • Approved Authorization to Fill Form (ATF) | X | | | | | | | |
| **HR Forms Provided by Talent Acquisition Team** | | | | | | | | |
| • Application | X | | | | | | | |
| • Authorization for Background Check | X | | | | | | | |
| • Background Check / Verification (Criminal, Education and Prior Employment) | | | | | | | | |
| • Pre-Employment Physical Pass Letter | | | | | | | | |
| • Signed Appointment / Offer Letter | X | | | | X | | | X |
| • I-9 Employment Eligibility Verification Form | X | | | | | | | |
| • Copies of Acceptable Documentation (Driver's License, Passport, SS card, etc.) | X | | | | | | | |
| • E-Verify | X | | | | | | | |
| • SAVE Affidavit | X | X | X | X | X | X | X | X |
| • Employee Ethics Pledge | X | X | X | X | X | X | X | X |
| • Acceptance of Unclassified Position Form (if applicable) | X | X | X | X | X | X | X | X |
| • Temporary Employment Acknowledgement Form (if applicable) | | | | | | | | |
| • Confidentiality Agreement Form | X | | X | X | | | X | X |
| • Request Permission to Perform Outside Employment | X | X | X | X | | X | | X |
| • Statement Concerning Employment in a Job Not Covered by Social Security (SSA-1945) | X | X | X | X | X | X | X | X |
| • W-4 Federal Withholding Allowance | | | | | | | | X |
| • G-4 State of Georgia Withholding Allowance | | | | | | | | X |
| • COA Employee Information Sheet | X | X | X | X | | | X | X |
| **Benefits (If Applicable)** | | | | | | | | |
| • Insurance Coverage Form | | | | | | | | |
| • Health Insurance Enrollment Form | | | | | | | | |
| • Copies of Documentation (i.e. Marriage License, Birth Certificates, SS Cards) | | | | | | | | |
| • ACA Enrollment Form (Temporary Employees Only) | | | | | | | | |
| • Life Insurance Enrollment Form (Employee must list at least ONE beneficiary) | | | | | | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| • Copies of Documentation (i.e. Marriage License, Birth Certificates) | | | | | | | | |
| • Tobacco Use Attestation Form | | | | | | | | |
| **Pension/Retirement Firms (*Employees must be enrolled in one of the plans below*)** | | | | | | | | |
| • Defined Contribution Pension Plan Participation Form – VOYA (Pay Grades 19 & Above) | | | | | | | | |
| • General Employees HYBRID Pension Plan (Pay Grades 18 & Below) | | | | | | | | |
| • Bencor FICA Alternative Plan Enrollment form (Temporary – Non-Benefit Earning) | | | | | | | | |
| • FICA Alternative Distribution Request Form (For Temporary to Permanent Only) | | | | | | | | |
| **Miscellaneous Forms** | | | | | | | | |
| • Direct Deposit Authorization (Must attach a voided check) - Optional | | | | | | | | |
| • Payroll Deduction for Monthly Transit Card – Optional | | | | | | | | |

**Notes:**

(1) Malik Brown and Ralph Jones were not included in initial media reports.

(2) An "X" denotes that the personnel files contained the designated document.

**Source:**  Human Resources file review conducted by audit staff**.**

**Appendix C:  HR New Hire Turn Around Document**

## HR NEW HIRE TURN AROUND DOCUMENT (TAD)

| EFFECTIVE DATE: ___ | EMPLOYEE ID NUMBER: ___ |
| --- | --- |

### PEOPLE DATA

Last Name ___
First Name ___
Middle Name ___
Title ___
Prefix ___
Suffix ___

Gender ___
SSN ___
DOB ___
Ethnic Origin ___
Martial Status ___

Address ___
City ___
State ___
Zip ___

Home Ph. ___
Other Ph. ___
Work Ph. ___

Physical Status: ☐ Passed ☐ N/T
Date Physical Passed ___
Holiday Pay ___

### WORK ASSIGNMENT

Rehire*: YES ☐ NO ☐
 *If retiree please attach "*Authorization to Re-employ Retiree Form*"
People Group: ☐ General ☐ Correction Sworn ☐ Fire Sworn ☐ Police Sworn
Department ___
Location Code ___
Assignment Category:
☐ Full-time Regular ☐ Full-time Temp ☐ Part-time Regular ☐ Part-time Temp
Temp Person Type: (if applicable)
☐ Extra Help ☐ Intern ☐ Seasonal
Employee Category:
☐ Classified ☐ Unclassified

Position# ___
Job Title ___
Job Code ___
Grade ___ Step ___ (if applicable)
Hourly Rate ___ Annual Rate ___
Working Hours ___
Supervisor ___
FOC: ☐ YES ☐ NO
Job Code ___ Grade ___
Job Title ___

### EXTRA INFORMATION TYPE

I-9 Information:
Type of ID Provided
___

CDL Information:
CDL License # ___
License State ___
CDL Expiration ___

GRE INFORMATION:  City of Atlanta
Shift: ☐ Day ☐ Evening ☐ Night

### KRONOS INFORMATION

Bar Code ___
Approver ID ___
Timekeeper ID ___
Profile Type (Check One)
☐ Approver ☐ Timekeeper
☐ View Only (Employee)

Employee Lunch (Check one)
☐ 0 ☐ 30 ☐ 45 ☐ 60
Sign-on Method (Check one)
☐ Desktop ☐ Clock Swipe ☐
Clock Bio ☐ TeleAccess

| Default Expense Acct | Labor Schedule | Labor Schedule (Grant/Project) | COMMENTS: |
| --- | --- | --- | --- |
| Fund: ___ Dept: ___ Acct: ___ Funcact: ___ | Fund: ___ Dept: ___ Acct: ___ Funcact: ___ | Project: ___ Task: ___ (3-digits) Award: ___ Exp Type: ___ Exp Org: City of Atlanta Allow project task time entry in Kronos: ☐ YES ☐ NO | |

### Human Resources & Employee Benefits Use Only

| Benefit Info | Payroll Info | Pension Info |
| --- | --- | --- |
| ☐ All Benefits ☐ No Benefits ☐ Health & Life ☐ Sick Lv., Vac, Incr. ☐ Medicare ☐ Pension Health & Life ☐ Continuation of Health Benefits ☐ Wait 90 days | ___ Grade ___ Step ___ Hr/Day/Rate ___ Standard Gross ___ Annual Salary | Pension Fund ___ Hospital Co. ___ Life Company ___ Pension Plan ___ Mar. Status/Date ___ |
| ___ First City Emp. Date ___ Current City Emp. Date ___ Empl Current Position No. | IF PREVIOUS CITY EMPLOYEE Title ___ From Date ___ To Date ___ Grade ___ Step ___ | |

___/___ Employee Signature/ Date
___/___ Immediate Supervisor/Date
___/___ Bureau Head/Date

___/___ Form Completed By/Date
___/___ Certified by/Date
___/___ Dept. Head/Date

Rec'd HR Date ___    To Generalist Date ___    Return from Generalist Date ___    TAD Processed Date ___

DHR Revision 1/2010                              Policy Planning & Administration

**Source:**  Department of Human Resources

**Appendix D:  HR Employee Maintenance Turn Around Document**

## HR EMPLOYEE MAINTENANCE TURNAROUND DOCUMENT (TAD)

| EFFECTIVE DATE: | EMPLOYEE ID NUMBER |
|---|---|

### PEOPLE DATA

| Name | SSN ▢ |
|---|---|

### CURRENT WORK ASSIGNMENT

Person Group ☒ ▢ ▢ ▢
Position#      Job Title ___
Department ___
FOC: ☐ YES ☐ NO      Job Code      Job Title
Assignment Category: ☐ Full-time Regular ☐ Full-time Temp ☐ Part-time Regular ☐ Part-time Temp

Grade     Step ___
Hourly Rate ▢     Annual Rate

Employee Category: ☐ Classified   ☒ Unclassified

### WORK ASSIGNMENT CHANGES

| Salary Changes | Moves | Leaves | Terminations | Miscellaneous |
|---|---|---|---|---|
| ☐ Salary Adjustment | ☐ Transfer  ☐ Upgrade | ☐ Leave of Absence | ☐ Resignation | ☐ Reprimand |
| ☐ Hourly Rate Increase | ☐ Promotion ___% | ☐ FMLA | ☐ Dismissal | ☐ Reinstate C5B w/o pay |
| ☐ Hourly Rate Decrease | ☐ Voluntary Demotion | ☐ Intermittent FMLA | ☐ Termination | ☐ Reinstate C5B w/ pay |
| ☐ Compensation Only | ☐ Involuntary Demotion | ☐ Short Term Military | ☐ Reduction in Force (RIF) | ☐ Rescinded by Dept |
| ☐ Education Incentive | ☐ Reassignment | ☐ Long Term Military  (Active Duty) | ☐ Deceased | ☐ Rescinded by Empl |
| ☐ Experience Incentive | ☐ FOC | ☐ Worker's Comp   ☐ IOJ | ☐ Disability (Fitness for Duty) | ☐ Status Change |
| ☐ Special Pay | ☐ Temp to Full-time | ☐ Suspension-Working Days ▢ | ☐ Retirement | ☐ Name/Address Change |
| ☐ Other ___ | ☐ Fire 40 to 53 hrs | ___ Suspension End Date | ☐ Separation (Contract Mgmt) | ☐ ▢ |
|  | ☐ Fire 53 to 40 hrs | ☐ Administrative Leave | ☐ Settlement – Do Not Rehire | Specify |
|  |  | ☐ Return from Leave/Suspension |  |  |

Second Assignment: ☐

Person Group:
☒ General
☐ Correction Sworn
☐ Fire Sworn
☐ Police Sworn
Department ▢
Location Code ▢

Assignment Category:
☐ Full-time Regular
☐ Full-time Temporary
☐ Part-time Regular
☐ Part-time Temporary
Temp Person Type:
(if applicable)
☐ Extra Help ☐ Intern
☐ Retiree ☐ Seasonal
Employee Category:
☐ Classified  X Unclassified

Position#
Job Title
Job Code
Grade _Step _ (if applicable)
Hourly Rate ▢
Annual Rate
Supervisor
FOC: ☐ YES ☐ NO
Job Code
Job Title ▢
Grade ▢     Step     (if applicable)

Approver ID
Timekeeper ID
**Profile Type** (Check One)
☐ Approver   ☐ Timekeeper
☒ View Only (Empl)
**Employee Lunch** (Check one)
☐ 0 ☐ 30 ☐ 45 ☐ 60
**Sign-on Method** (check one)
☒ Desktop ☐ Clock Swipe
☐ Clock Bio ☐ Tele Access

**GRE INFORMATION:**   City of Atlanta            Shift: ☐ Day ☐ Evening ☐ Night

| Default Expense Acct | Labor Schedule 55%. 5%. 2%. 19%. and 19% | Labor Schedule (Grant/Project) | COMMENTS: |
|---|---|---|---|
| Fund: ▢ | Fund: 1001, 3147, 3148, 5051 and 5501 | Project: ▢ |  |
| Dept: ▢ | Dept: 290101 | Task: ▢ |  |
| Acct: ▢ | Acct: 5111001 | Award: ▢ |  |
| Funcact: ▢ | Funcact: 1560000 | Exp Type: ▢ |  |
|  |  | Exp Org: City of Atlanta |  |
|  |  | Allow project task time entry in Kronos: ☐ YES ☐ NO |  |

### Human Resources & Employee Benefits Use Only

| Benefit Info | Payroll Info | Pension Info |
|---|---|---|
| ☐ All Benefits  ☐ No Benefits | Grade ▢  Step ▢ | Pension Fund ▢ |
| ☐ Health & Life  ☐ Sick Lv., Vac, Incr. | ▢ Hr/Day/Rate | Hospital Co. ▢ |
| ☐ Medicare  ☐ Pension Health & Life | ▢ Standard Gross | Life Company ▢ |
| ☐ Continuation of Health Benefits | ▢ Annual Salary | Pension Plan ▢ |
| ☐ Wait 90 days |  | Mar. Status/Date ▢ |

_____/_____ Employee Signature/ Date       _____/_____ Form Completed By/Date

_____/_____ Immediate Supervisor/Date       _____/_____ Certified by/Date

_____/_____ Bureau Head/Date       _____/_____ Dept. Head/Date

Rec'd HR Date _____     To Generalist Date _____     Return from Generalist Date _____     TAD Processed Date _____

HR Revision 6/15/2008

**Source:**  Department of Human Resources

**Appendix E: Personnel Transaction Authorization to Fill**

## PERSONNEL TRANSACTION AUTHORIZATION FORM

Click or tap here to enter text.
**Commissioner/Agency Head** (Signature required)

Click or tap here to enter text.
**Date**

Click or tap here to enter text.
**Department**

Click or tap here to enter text.
**Office/Division**

*Approval is requested to fill the vacancy below. Justification of each position is included.*

| ☐ General – | ☐ Enterprise – | ☐ Internal Service | ☐ Grant | ☐ Other _____ |
|---|---|---|---|---|
| **Class Title** | | | | |
| **Employee** | Click or tap here to enter text. | | | |

| Pay Grade (For Promotion) | | Annual Salary (For promotion) | Pay Grade (For Hire) | Budgeted Salary (For Hire) |
|---|---|---|---|---|
| From | To | | | |
| - | - | - | - | |

| Fund Account/PTAEO | |
|---|---|
| ☐ **General Fund** | ☐ |

| Above Entry Approved? Yes ☐  No ☐ | Salary Range: | Min | Mid | **Max:** Click or tap here to enter text. |
|---|---|---|---|---|

| **Action Requested** | ☐ Request to Advertise | ☐ Hire (Internal/External) | | ☐ Re-Employment |
|---|---|---|---|---|
| | ☐ Promotion | ☐ Compensation Only | ☐ Transfer | ☐ Other - |

| **Justification** | . |
|---|---|
| | |

| **APPROVAL** | **APPROVER'S COMMENTS** | |
|---|---|---|
| **YES** ☐  **NO** ☐ | Click or tap here to enter text. | |

DHR Business Partner _____ Date: _____

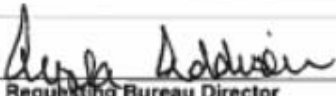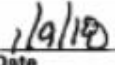Budget Personnel _____ Date: _____

Commissioner of Human Resources _____ Date: _____

Prepared by: _____ Date: _____

(By signing this document all parties certify they have verified that funds/FTE are available for the above transaction, Original signatures required)

**Source:** Department of Human Resources

**Appendix F:  Off-Cycle Check Requests for Six Transition Employees**

## OFF-CYCLE CHECK REQUEST
### Department of Finance

Requestor's Name    Angela Addison Brown

Phone nº                                                        Date:    1-9-18
Department:    Executive Offices/HR        Bureau:
Division:

Employee Name:        Ralph Jones Jr
Employee ID  ▮▮▮▮▮                                    SSN
Group _____        Pay Period    1                    Off Cycle #

☐ Stop Payment /Lost Check

☐ Time Incorrectly Entered:

☐ Overpayment:

☐ Direct Deposit/ Incorrect Account:

☐ Processing TADS/Pay Rate

X Other    Please pay 64 regular hours and 16 holiday hours total of 80 hours

_____                    1/9/18
Requesting Bureau Director                              Date

_____                    _____
Chief Financial Officer                                    Date

# OFF-CYCLE CHECK REQUEST
## Department of Finance

Requestor's Name    Angela Addison Brown

Phone n°                                    Date:   1-9-18
Department:   Executive Offices/HR      Bureau:
Division:

Employee Name:    Phillana Williams

Employee ID   ████████              SSN
Group             Pay Period  1             Off Cycle #

☐ Stop Payment /Lost Check

☐ Time Incorrectly Entered:

☐ Overpayment:

☐ Direct Deposit/ Incorrect Account:

☐ Processing TADS/Pay Rate

X Other    Please pay 64 regular hours and 16 holiday hours total of 80 hours

_____                    1/9/18
Requesting Bureau Director                     Date

_____                    _____
Chief Financial Officer                        Date

# OFF-CYCLE CHECK REQUEST
### Department of Finance

Requestor's Name    Angela Addison Brown

Phone nº                          Date:   1-9-18

Department:    Executive Offices/HR     Bureau:

Division:

Employee Name:    Anderia Bishop

Employee ID   █████████        SSN

Group            Pay Period  1           Off Cycle #
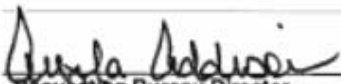
☐ Stop Payment /Lost Check

☐ Time Incorrectly Entered:

☐ Overpayment:

☐ Direct Deposit/ Incorrect Account:

☐ Processing TADS/Pay Rate

X Other    Please pay 64 regular hours and 16 holiday hours total of 80 hours

_Angela Addison_                      1/9/18

Requesting Bureau Director             Date

_____        _____

Chief Financial Officer                 Date

## OFF-CYCLE CHECK REQUEST
### Department of Finance

Requestor's Name    Angela Addison Brown

Phone n°

Department:   **Executive Offices/HR**    Bureau:        Date:   1-9-18

Division:

Employee Name:   **Marva Lewis**

Employee ID   ■■■■■          SSN

Group            Pay Period  **1**           Off Cycle #

☐ **Stop Payment /Lost Check**

☐ **Time Incorrectly Entered:**

☐ **Overpayment:**

☐ **Direct Deposit/ Incorrect Account:**

☐ **Processing TADS/Pay Rate**

X **Other**   Please pay 64 regular hours and 16 holiday hours total of 80 hours

_(signature)_

**Requesting Bureau Director**              1/9/18 **Date**

**Chief Financial Officer**              **Date**

# OFF-CYCLE CHECK REQUEST
## Department of Finance

Requestor's Name    Angela Addison Brown

Phone nº                         Date:   1-9-18

Department:    Executive Offices/HR      Bureau:

Division:

Employee Name:    Justin Edge

Employee ID    ███████              SSN

Group             Pay Period   1               Off Cycle #

☐ Stop Payment /Lost Check

☐ Time Incorrectly Entered:

☐ Overpayment:

☐ Direct Deposit/ Incorrect Account:

☐ Processing TADS/Pay Rate

X Other    Please pay 64 regular hours and 16 holiday hours total of 80 hours

_Angela Addison_                      1/9/18

Requesting Bureau Director                Date

Chief Financial Officer                       Date

**OFF-CYCLE CHECK REQUEST**
Department of Finance

Requestor's Name    Angela Addison Brown

Phone n°                                                        Date:    1-9-18
Department:    Executive Offices/HR        Bureau:
Division:

Employee Name:    Malik Brown

Employee ID    ▇▇▇▇                                    SSN
Group                      Pay Period    1                      Off Cycle #
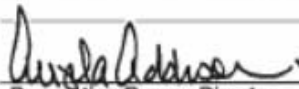
☐ Stop Payment /Lost Check

☐ Time Incorrectly Entered:

☐ Overpayment:

☐ Direct Deposit/ Incorrect Account:

☐ Processing TADS/Pay Rate

X Other    Please pay 64 regular hours and 16 holiday hours total of 80 hours

_Angela Addison_                                          1/9/18
Requesting Bureau Director                          Date

_____                          _____
Chief Financial Officer                                  Date